

PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

REC'D 21 JUN 2004

WIPO PCT

19 OCT 2004

Applicant's or agent's file reference P51339	<div style="display: flex; justify-content: space-between;"> FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416) </div>	
International application No. PCT/US03/12127	International filing date (day/month/year) 18 April 2003 (18.04.2003)	Priority date (day/month/year) 19 April 2002 (19.04.2002)
International Patent Classification (IPC) or national classification and IPC IPC(7): A61K 31/519; A01N 43/90; C07D 487/00. and US Cl.: 514/258.1, 264.1; 544/279.		
Applicant SMITHKLINE BEECHAM CORPORATION		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>5</u> sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of <u>0</u> sheets.</p> <p>3. This report contains indications relating to the following items:</p> <ul style="list-style-type: none"> I <input checked="" type="checkbox"/> Basis of the report II <input type="checkbox"/> Priority III <input checked="" type="checkbox"/> Non-establishment of report with regard to novelty, inventive step and industrial applicability IV <input checked="" type="checkbox"/> Lack of unity of invention V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement VI <input type="checkbox"/> Certain documents cited VII <input type="checkbox"/> Certain defects in the international application VIII <input type="checkbox"/> Certain observations on the international application 		
Date of submission of the demand 05 November 2003 (05.11.2003)	Date of completion of this report 09 March 2004 (09.03.2004)	
Name and mailing address of the IPEA/US Mail Stop PCT, Attn: IPEA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703)305-3230	Authorized officer Mukund Shah <i>Janice Ford</i> Telephone No. 703-308-1235	

Form PCT/IPEA/409 (cover sheet)(July 1998)

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International Application No.

PCT/US03/12127

I. Basis of the report

1. With regard to the elements of the international application:*

- ☒ the international application as originally filed.
- ☒ the description:
 - pages 1-60 _____ as originally filed
 - pages NONE _____, filed with the demand
 - pages NONE _____, filed with the letter of _____.
- ☒ the claims:
 - pages 61-63 _____, as originally filed
 - pages NONE _____, as amended (together with any statement) under Article 19
 - pages NONE _____, filed with the demand
 - pages NONE _____, filed with the letter of _____.
- ☒ the drawings:
 - pages 1 _____, as originally filed
 - pages NONE _____, filed with the demand
 - pages NONE _____, filed with the letter of _____.
- ☐ the sequence listing part of the description:
 - pages NONE _____, as originally filed
 - pages NONE _____, filed with the demand
 - pages NONE _____, filed with the letter of _____.

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language _____ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in printed form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. ☒ The amendments have resulted in the cancellation of:

- ☒ the description, pages NONE
- ☒ the claims, Nos. NONE
- ☒ the drawings, sheets/fig NONE

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).**

* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

** Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

III. Non-establishment of opinion with regard to novelty, inventive step and industrial applicability

1. The question whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious), or to be industrially applicable have not been and will not be examined in respect of:

- ☐ the entire international application,
☒ claims Nos. 7

because:

- ☐ the said international application, or the said claim Nos. _____ relate to the following subject matter which does not require international preliminary examination (*specify*):

- ☐ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. _____ are so unclear that no meaningful opinion could be formed (*specify*):

- ☐ the claims, or said claims Nos. _____ are so inadequately supported by the description that no meaningful opinion could be formed.

- ☒ no international search report has been established for said claims Nos. 7

2. A meaningful international preliminary examination cannot be carried out due to the failure of the nucleotide and/or amino acid sequence listing to comply with the standard provided for in Annex C of the Administrative Instructions:

- ☐ the written form has not been furnished or does not comply with the standard.
☐ the computer readable form has not been furnished or does not comply with the standard.

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IV. Lack of unity of invention

1. In response to the invitation to restrict or pay additional fees the applicant has:

- ☐ restricted the claims.
- ☐ paid additional fees.
- ☐ paid additional fees under protest.
- ☐ neither restricted nor paid additional fees.

2. ☒ This Authority found that the requirement of unity of invention is not complied with and chose, according to Rule 68.1, not to invite the applicant to restrict or pay additional fees.

3. This Authority considers that the requirement of unity of invention is accordance with Rules 13.1, 13.2 and 13.3 is

- ☒ complied with.
- ☒ not complied with for the following reasons:

This application contains the following inventions or groups of inventions which are not so linked as to form a single general inventive concept under PCT Rule 13.1. In order for all inventions to be examined, the appropriate additional examination fees must be paid.

Group I, claim(s) 1-6, drawn to compounds in claim 1, their composition, and method of treatment.

Group II, claim(s) 7, drawn to intermediates.

The inventions listed as Groups I and II do not relate to a single general inventive concept under PCT Rule 13.1 because, under PCT Rule 13.2, they lack the same or corresponding special technical features for the following reasons:

A. Compounds of Group I have a core of a bicyclic system of 8H-pyrido[2,3-d]pyrimidin-7-one while those of Group II have a core of a monocyclic system of pyrimidine.

B. Compounds of Group I have therapeutic value while those of Group II are used as intermediates, and do not share the same utility with those of Group I.

4. Consequently, the following parts of the international application were the subject of international preliminary examination in establishing this report:

- ☐ all parts.
- ☒ the parts relating to claims Nos. 1-6

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V. Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. STATEMENT

Novelty (N)	Claims <u>1-6</u>	YES
	Claims <u>NONE</u>	NO
Inventive Step (IS)	Claims <u>1-6</u>	YES
	Claims <u>NONE</u>	NO
Industrial Applicability (IA)	Claims <u>1-6</u>	YES
	Claims <u>NONE</u>	NO

2. CITATIONS AND EXPLANATIONS

Claims 1-6 meet the criteria set out in PCT Article 33(2)-(3). The reference of WO 02/059083, while teaches compounds of 8H-pyrido[2,3-d]pyrimidin-7-one, does not have an earlier publication date. Therefore, it is not a competent prior art.

Thus, at the time of the invention, essentially, there is no teaching for the subject matter of claims 1-6.

Claims 1-6 meet the criteria set out in PCT Article 33(4), and thus they have industrial applicability because the subject matter claimed can be made or used in the pharmaceutical industry as well as in a clinical setting.

PATENT COOPERATION TREATY

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NOTE OF INFORMAL COMMUNICATION WITH THE APPLICANT

(PCT Rule 66.6)

International application No. PCT/US03/12127	Applicant's or agent's file reference P51339	Date of informal communication (day/month/year) 09 March 2004 (09.03.2004)
Applicant SMITHKLINE BEECHAM CORPORATION		

<u>Communication</u> <input checked="" type="checkbox"/> by telephone <input type="checkbox"/> personal	<table style="width: 100%;"> <tr> <td style="width: 40%;"><u>Participants</u></td> <td style="width: 20%;"><input checked="" type="checkbox"/> Identity checked</td> <td style="width: 20%;"><input checked="" type="checkbox"/> authorization checked</td> <td style="width: 20%;"><input type="checkbox"/> personally known</td> </tr> <tr> <td><input checked="" type="checkbox"/> Applicant: SM/ITH,KLINE BEECHAM CORPORATION</td> <td colspan="3"></td> </tr> <tr> <td><input checked="" type="checkbox"/> Agent: DARA L. DINNER</td> <td colspan="3"></td> </tr> <tr> <td><input checked="" type="checkbox"/> Examiner(s): TAMTHOM N. TRUONG</td> <td colspan="3"></td> </tr> </table>	<u>Participants</u>	<input checked="" type="checkbox"/> Identity checked	<input checked="" type="checkbox"/> authorization checked	<input type="checkbox"/> personally known	<input checked="" type="checkbox"/> Applicant: SM/ITH,KLINE BEECHAM CORPORATION				<input checked="" type="checkbox"/> Agent: DARA L. DINNER				<input checked="" type="checkbox"/> Examiner(s): TAMTHOM N. TRUONG			
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Summary of communication:

☐ An extension of time limit is granted (Form PCT/IPEA/427).

☒ A copy of this note is being sent to the applicant with Form PCT/IPEA/429.

PCT/IPEA/424.

Name and mailing address of the IPEA/US Mail Stop PCT, Attn: IPEA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703)305-3230	Authorized officer Mukund Shah <i>Janice Ford</i> Telephone No. 703-308-1235
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Form PCT/IPEA/428 (July 1992).